

U.S. Department of Energy

Managerial/Supervisory Performance Appraisal Form

| | | |
|----------------------------|-------|---------------|
| Name: | | Title: |
| Organization: | | Duty Station: |
| Performance Rating Period: | From: | To: |

Performance Agreement Certification: This confirms that we have met and discussed expectations for the established performance appraisal period.

Rating Official's Name (Typed or Printed)

Rating Official's Signature DATE

Reviewing Official's Name (Typed or Printed)

Reviewing Official's Signature DATE

Employee's Name (Typed or Printed)

Employee's Signature DATE

Privacy Act Statement

This form is subject to the provisions of the Privacy Act. Copies will be retained and provided for review and retention as required to appropriate management officials having a need to know. This gathers and records information on how Departmental employees are performing their duties and responsibilities. The information will be used to determine eligibility entitlement to awards, and compensation benefits. The authority to collect this information is contained in Title IV of the Civil Service Reform Act of 1978. The information will not be disclosed outside the Department without prior consent except as required or permitted by law.

Critical Element I - Program Accomplishments

| | |
|---|--|
| <p>Instructions: Sub-elements, which must be linked to organizational goals and plans, may be expressed as one clause or sentence, but must be sufficiently descriptive to allow them to be distinguished from one another. Performance/organizational goals must be achievable and include information on measurable outcomes such as program improvements, cost reductions, improved timeliness, and improved customer/advisory services. Each sub-element under the Program Accomplishments critical element is of equal importance and accordingly will be weighted equally in the overall assessment of this critical element.</p> | |
| Sub-Elements | “Meets Expectations” Performance Standard Level |
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |

Critical Element II • Managerial/Supervisory Attributes

Instructions: Each of the sub-elements that follows describes an attribute required of all effective managers. At the beginning of the performance appraisal period, Employees and Rating Officials should review and discuss each sub-element attribute to assure a mutual understanding of the generic performance standards provided for each. Also during these discussions, the need for additional standards should be determined and documented as amendments to the appropriate attributes' performance standards. Each cluster under the Management critical element is of equal importance, and accordingly, will be weighted equally in the overall assessment of this critical element.

Cluster 1 – Subject Matter Expertise

Meets Expectations Standards:

Demonstrates Functional Competence

- Demonstrates expertise in his/her functional area, leveraging unique core of knowledge and skills to achieve results.
- Keeps up-to-date in areas of expertise.
- Seeks input from manager, peers, and others regarding new developments, techniques, technologies and similar advancements in area of expertise.
- Responds to requests for assistance in area of expertise in a timely manner by administering and actively passing on expertise to others.
- Seeks assignments that make good use of expertise, engaging in an appropriate mix of challenging and comfortable assignments providing any assistance to clients/customers.

Exhibits Analytical Ability and Solves Problems

- Gathers and effectively analyzes multiple data sources to determine root cause of problems.
- Communicates and shares effective problem-solving processes. Generates alternative solutions and seeks input from others.
- Typically anticipates the consequences or impact of a suggested course of action.
- Collaborates with peers and others in problem-solving efforts and supports positions/recommendations that result
- Consistently shares thoughts and supports recommendations with sound rationale.
- Makes sound decisions in the face of ambiguity and uncertainty.
- Appropriately escalates problems or resource issues for resolution.

Innovates

- Consistently generates creative ideas for systems, services, or work processes.
- Explores and supports new ideas and initiatives. Identifies areas for improvement within own area of expertise/job function.
- Looks outside area of expertise to identify new ideas and initiatives.
- Creates an open environment for people to voice new ideas.
- Takes prudent risks to create new value for customers.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 2 – Customer Service and Communications

Meets Expectations Standards:

Serves Customers and Builds Partnerships

- Secures commitments that are realistic and attainable, and keeps them, delivering on time with quality.
- Responds quickly to customer/partner concerns and requests, reacting constructively to changes in needs and priorities.
- Consistently helps customers and partners overcome problems or difficulties.
- Keeps customers and partners up to date on progress.
- Provides respect to customers and partners, maintaining composure and objectivity in challenging situations.
- Solicits feedback on the quality of service provided and takes corrective action, seeking help if needed.

Communicates Effectively

- Presents his/her positions in a concise and convincing manner, orally and in writing.
- Generates written materials that only occasionally require limited revision.
- Uses professional wording and tone.
- Listens to others' viewpoints and seeks to clarify for understanding.
- Is able to successfully support own positions in a non-confrontational manner.
- Uses communication methods (e.g., e-mail, voice mail, meetings) appropriate to the situation.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 3 – Resources Management

Meets Expectations Standards:

Demonstrates Personal Leadership

- Serves as an example for others in demonstrating high levels of productivity and quality.
- Demonstrates accountability and integrity through consistency between words and actions.
- Creates opportunities to apply skills without having to wait for direction.
- Demonstrates flexibility and resilience in response to constraints and adversity.
- Conveys a clear sense of organizational goals, values, and interests.

Creates Effective Operating Plans

- Develops operating plans that optimize time and resources.
- Demonstrates understanding of the roles of different organizational units in fulfilling the operating plan.
- Involves the right people in the appropriate stages of the business planning process.
- Anticipates and addresses issues that may cause disruptions to the operating plan.
- Remains flexible and integrates changing priorities into existing plans.
- Establishes challenging goals and adopts meaningful metrics for evaluating results.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 4 – Team Building

Meets Expectations Standards:

Builds Capability

- Obtains and uses resources to achieve results.
- Benchmarks, sets standards, and develops measurements for productivity, quality, timeliness.
- Identifies present and future competencies needed in the workforce.
- Exposes team to best practices among other groups.
- Strives to identify and select the very best talent to meet organizational needs.

Coaches, Motivates, and Develops

- Provides timely and constructive performance feedback on a regular basis, accurately appraising the strengths and weaknesses of direct reports.
- Holds individuals responsible for their actions in a manner that is fair and objective.
- Offers coaching suggestions on a regular basis to help team members improve, providing encouragement and support.
- Remains calm and encourages discussion and full exploration of problems.
- Collaborates with team members to further their career goals and interests.
- Fosters an environment of continuous learning and development.

Critical Element II • Managerial/Supervisory Attributes cont.

Cluster 5 – Diversity

Meets Expectations Standards:

Builds Diversity

Fosters an environment where people can work together cooperatively and effectively to achieve organizational goals; openly addresses conflict, disagreements, and differences in perspective, and achieve productive resolutions.

Treats employees fairly and honestly when dealing with disagreements and workforce disputes using alternative dispute resolution techniques and other means to resolve disputes.

Demonstrates genuine concern and respect for direct reports and co-workers, conveys confidence in others' ability and desire to do their best, considers and responds to the needs, feelings, and capabilities of others; works constructively with others regardless of differences in style or interests, and is respectful and supportive of others' ideas and concerns.

Progress Review **Name:** **Rating Period:**

Instructions: Discuss and document progress achieved to-date by the employee in terms of the expected outcomes specified under the performance standards for each sub-element. Documentation and discussion should also address the need for any performance improvements specified below. Changes in priorities or workload, the availability of resources and other factors affecting the employee’s ability to meet performance expectations should be considered and appropriate adjustments to the employee’s performance plan should be made. (Additional comments may be placed on a separate page.)

| Critical Element I | Comments/Progress |
|--|--------------------------|
| Program Accomplishment Sub-Elements | |
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| Critical Element II | Comments/Progress |
| Managerial/Supervisory Attributes | |
| 1. Subject Matter Expertise | |
| 2. Customer Service and Communications | |
| 3. Resources Management Skills | |
| 4. Team Building | |
| 5. Diversity | |

Rating Official’s Signature

Employee’s Signature

DATE

Deriving Performance Ratings for Each Critical Element

Instructions: The tables that follow addresses how performance ratings are assigned to each critical element based on the ratings provided to each of the sub-elements.

Program Accomplishments with 2 or 3 Sub-Elements

- Significantly Exceeds (SE) - All sub-elements must be rated SE
- Meets Expectations (ME) – At least 1 sub-element rated ME with the others rated the same or higher
- Needs Improvement (NI) – One or more sub- elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Program Accomplishments with 4 or 5 Sub-Elements

- Significantly Exceeds (SE) - All sub-elements must be rated SE
- Meets Expectations (ME) – At least one sub-element rated ME with no more than one of the remaining rated as low as Needs Improvement
- Needs Improvement (NI) – Two or more sub- elements rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one sub-element rated FME

Managerial/Supervisory Attributes

- Significantly Exceeds (SE) - All attribute clusters must be rated SE
- Meets Expectations (ME) – At least one attribute cluster rated ME with no more than one of the remaining rated as low as Needs Improvement
- Needs Improvement (NI) – Two or more attribute clusters rated NI with the others rated the same or higher
- Fails to Meet Expectations (FME) – At least one attribute cluster rated FME

Annual Summary **Name:** **Rating Period:**

| Critical Element I Program Accomplishment Sub-Elements | Rating | Comments |
|---|--------|----------|
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |
| Critical Element II Managerial/Supervisory Attributes | Rating | Comments |
| 1. Subject Matter Expertise | | |
| 2. Customer Service and Communications | | |
| 3. Resources Management Skills | | |
| 4. Team Building | | |
| 5. Diversity | | |

Deriving Overall Summary Performance Ratings

Instructions: The table that follows illustrate how summary performance ratings are derived from ratings assigned to each of the critical elements.

Summary Performance Ratings

- Significantly Exceeds Expectations (SE) – Both critical elements must be rated SE
- Meets Expectations (ME) – At least one critical element rated ME with the other rated the same or higher
- Needs Improvement (NI) – At least one critical elements rated NI with the other rated the same or higher
- Fails to Meet Expectations (FME) – At least one critical element rated FME

Annual Summary Rating and Signatory Approvals

| | | | | | |
|-----------------------------------|--|--|----|----|-----|
| Name: | | Rating Period: | | | |
| | | Summary Rating Mark (X) the appropriate box | | | |
| | | SE | ME | NI | FTM |
| Program Accomplishments | | | | | |
| Managerial/Supervisory attributes | | | | | |
| Summary Rating | | | | | |

Rating Official's Name (Typed or Printed)

Rating Official's Signature DATE

Reviewing Official's Name (Typed or Printed)

Reviewing Official's Signature DATE

Employee's Name (Typed or Printed)

Employee's Signature DATE

I have reviewed and discussed this appraisal with my supervisor. My signature does not imply that I agree with the appraisal recommendation.
(Attach comments, as applicable.)